Issue Management Process

CalWIN

EDS

RECORD OF CHANGES

Change Number	Brief Description of Change (include page numbers)	Date	Responsible Party
1.0	Created Issue Management Process document.	02/28/00	PMO
1.1	• Modified sub-activity 1.4 to assign initial "severity" vs. "priority". • Modified Appendix B to read "Authoritative Level" as opposed to "Level".	03/27/00	PMO
1.2	Modified Appendix B – Database Attributes to sync up with Change/Issue Management Tool Overview documentation and the actual tool now that it has been developed.	04/17/00	PMO
1.3	Modified process to allow a "Designee" of the Owner to update the Issue Management database.	05/22/00	PMO
1.4	Changed Priority field sample data in Appendix B from 1 - 999 to 1 - 10 per request of the Change Control Board.	07/21/00	PMO

CalWIN Project

Issue Management Process

Executive Summary

The CalWIN Management Team ('Team') consisting of WCDS CalWIN Management and EDS CalWIN Management jointly developed the Issue Management process for the CalWIN Project ('Project'). The Webster Dictionary defines **issue** as; [1]a point of debate or controversy; [2]the point at which an unsettled matter is ready for a decision, and [3]something coming forth from a specified source. The Team defines **issue** as; [1]a disagreement or lack of consensus between two or more Team members that cannot be resolved within a timely manner, [2]an item that requires further clarification/evaluation, and [3]something that can come forth from anywhere or anybody. The CalWIN Project Issue Management process addresses the management of the CalWIN Project Issues.

The CalWIN Project Issue Management process provides the capability to record, manage, resolve, and dispose of all issues. All issues are maintained in a centralized database and can be reviewed by all Team members. The Issue Management process allows for the control of all issues and has been divided into five levels from the CalWIN Directors down to the individual CalWIN Track Managers. This provides the mechanism for issue identification from anywhere or anybody allowing each level to focus solely on their issue resolutions and dispositions. If an issue, for whatever reason, cannot be resolved, then the issue is escalated to the next level up.

Issues are a standing agenda item for the weekly status meetings. In addition, trend reports are produced and reviewed during the monthly status meetings.

The leadership within each level is responsible for reviewing not only their own level but the level below them, ensuring that issues are continually being resolved and disposed of in a timely manner. As the disposition of each issue is identified, an Issue Update Notice is communicated to the Team (See CalWIN Project Communication Plan.). Also, pending issues and resolution status will be shared on a regular basis with stakeholders as appropriate.

It is the intent of this Team to resolve all issues prior to conducting the Deliverable Conformance Review process. All issues that are tied to the specific deliverable(s) during this review must be properly disposed before the deliverable can be approved.

And finally, the CalWIN Management Team is pleased to have defined an Issue Management process that empowers the Team to raise issues and empowers the five levels of leadership to control issues and measure Project volatility which reduces risk and increases Project *success*.

Purpose and Scope

The purpose of Issue Management is to ensure issues are controlled using a formal process of standard methods and procedures to minimize the impact of risk and promote success in the CalWIN Project. It provides the mechanism for issues to be surfaced, documented, assessed, resolved, and communicated back to the Team.

The Issue Management process requires that all issues be documented, prioritized, and mapped to CalWIN requirements. The intent is to track those items where consensus cannot be reached or further evaluation is required. The questions, comments and discussions that occur as a result of day to day working sessions will be tracked by working minutes and action items as appropriate.

Goals

The goals of Issue Management are to:

- Minimize risk.
- Reach consensus on all issues.
- Provide standard documentation of all issues.
- Minimize disruption to the Project due to rework.
- Measure Project volatility.
- Provide open disclosure of issues.
- Communicate to all stakeholders.
- Maximize stakeholders' satisfaction.
- Provide a process that facilitates a controlled yet responsive environment that supports the business needs of CalWIN.

Value

Effective Issue Management provides the following value to the Project:

- Provides a focal point for those seeking to highlight issues.
- Ensures that issues are properly documented, analyzed, and resolved.
- Communicates information consistently to all affected parties.
- Encourages the identification of potential issues early enough to minimize impacts and reduce rework.
- Provides feedback on how well requirements were defined during the early stages of the Project.

Applicable Policy, Standards, and References

- Requirements Management Policy
- Requirements Management Process

Description

The Issue Management process involves the following activities:

1. Identify and Accept Issue
2. Evaluate Impact of Issue
3. Determine and Communicate Disposition of Issue
4. Revise Work Products (Conditional)
5. Evaluate and Refine Issue Management Process

Inputs

Work Product	Source	Status[1]	Internal/ External[2]	Entrance Criteria[3]
Issue	CalWIN Project Team	Complete	Internal	Y
Project Control Document	PMO	Complete	External	Y
Work Products	CM Team	In Progress	External	N

Outputs

Work Product	Recipient	Status[1]	Internal/ External[2]	Exit Criteria[3]
Issue Impact Analysis	Responsible Authoritative Level	Complete	Internal	N
Issue Management Database	CalWIN Project Team	Complete	Internal	Y
Issue Update Notice	Stakeholders	Complete	Internal	Y
Lessons Learned	CalWIN Project Team QA Team	Complete	External	N
Project Control Document (updated)	CalWIN Project Team	Complete	External	N
Quality Assurance Review Notice	CalWIN Project Team	In Progress	External	N
Work Products (updated)	Counties	In Progress	External	N

[1]Status indicates the work product is either complete upon entry or exit from the process, or in-progress upon entry or exit from the process.

[2]Internal/External - Identifies if the work product is used for this process only (Internal) or used by other processes (External).

[3]An Entrance Criteria of "Y" indicates the work product is required to enter the process. An Exit Criteria of "Y" indicates the work product is required to exit the process.

Roles and Responsibilities

The terms *role* and *agent* are used interchangeably in this process documentation. The agent identified with an asterisk (*) within each of the activity agent listings has the primary responsibility for ensuring the activity is accomplished.
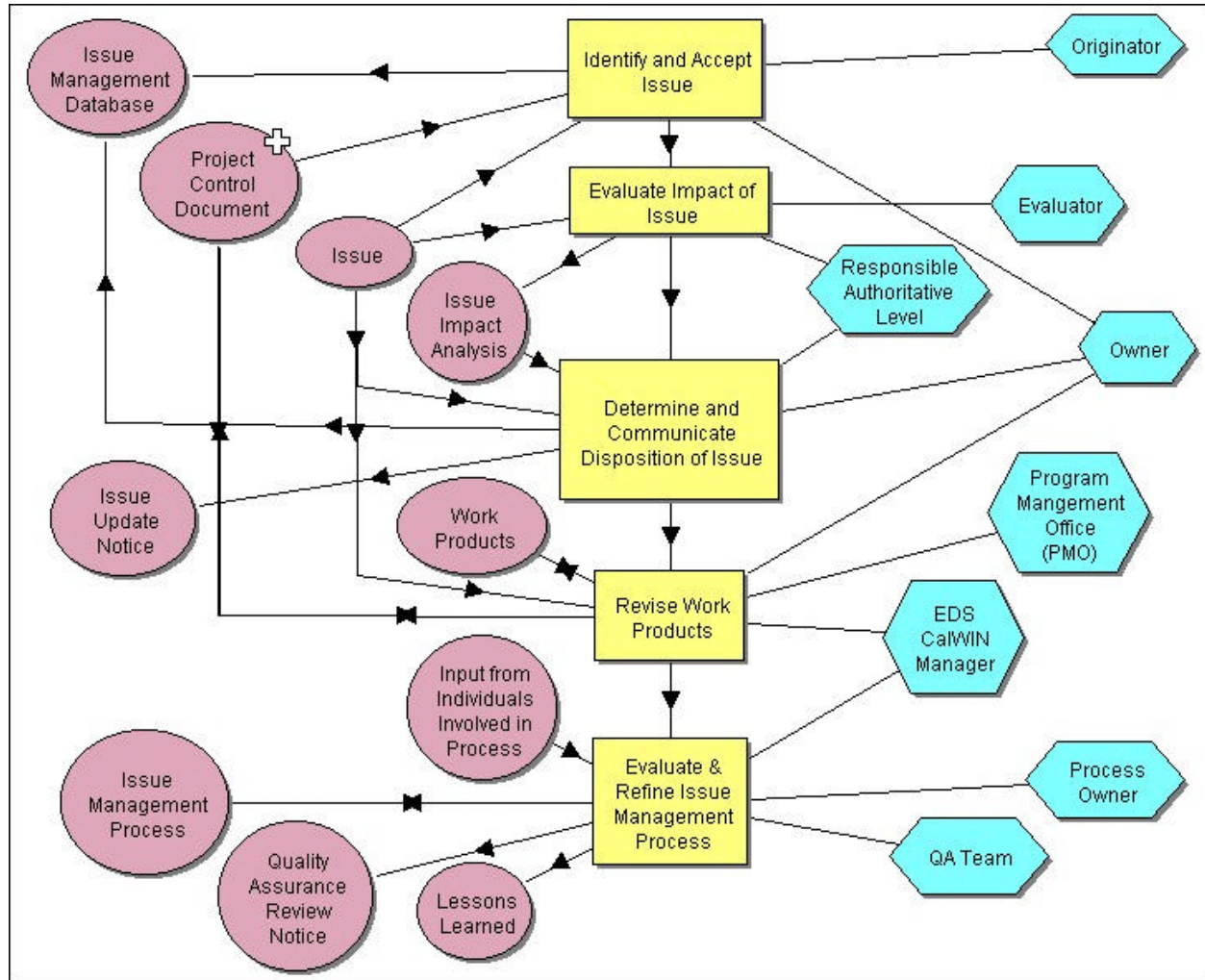
Roles	Responsibilities
Designee	At the request of an Owner, performs the following functions: • Records Issue in the Issue Management Database. • Updates the database to reflect current status of the Issue. • Validates the Issue. • Communicates disposition of the Issue to all parties involved.
EDS CalWIN Manager	• If necessary, makes a change to the work products based on disposition of Issues. • Facilitates evaluation of lessons learned and implementation of process improvements.
Evaluator	• Prepares Issue Impact Analysis Report.
Originator	• Seeks out an Owner to sponsor the Issue. • Fully documents the Issue and forwards information to the Owner. • Provides any requested clarification to Owner.
Owner (CalWIN Leaders and Managers – See Appendix A)	• Records Issue in the Issue Management Database. • Updates the database to reflect current status of Issue. • Validates the Issue. • Assigns initial severity and authority. • Oversees evaluation of the Issue. • Communicates disposition of the Issue to all parties involved.

Roles	Responsibilities
	• Takes action to revise work products based on decision from review session.
Program Management Office (PMO)	• Facilitates the "Issues" agenda item at the weekly status meetings. • Provides Issue activity measurement reporting for the monthly status reports. • Maintains Project Control Document (PCD), Issue Management Database and Issue Management Process.
Process Owner (PMO)	• Develops and executes plans for Issue Management process improvements/upgrades as necessary.
QA Team	• Conducts periodic Quality Assurance Reviews on the Issue Management process.
Responsible Authoritative Level (See Appendix A)	• Authorizes Issue Impact Analysis. • Reviews Issue Impact Analysis. • Determines disposition of Issue.
Technology Services	• Establishes and maintains the automated tool (see below), maintains the database, and ensures a secure and recoverable environment.

Tools

Tools	Purpose
Issue Management Database (See Appendix B)	• Maintain record of all reported Issues.

Process Flow

Activities

1. Identify and Accept Issue

Purpose To formally capture Issues and to manage project requirements.

To ensure that energy is focused on only valid issues and that priority is given to those with the greatest impact to the Project.

Description **1.1 Identify and Document Issue**

Issues can originate from joint design sessions, testing track activities, deliverable review, implementation tasks or anywhere during the course of the Project. An issue will typically arise when two or more members of the Team cannot gain consensus on a specific comment, question, or when further evaluation is required.

The Originator of the Issue must find a CalWIN Leader or Manager who is willing to "Own" the Issue. The Originator must fully document the Issue and forward the documented Issue to the Owner.

1.2 Record Issue

The Owner (or Designee) will record the Issue in the Issue Management database.

1.3 Validate Issue

The Owner (or Designee) of an Issue validates the Issue to ensure that the request is not a duplicate of one previously reported; that enough information was provided to resolve the issue; and that the request can be mapped to a specific Project requirement/specification. The Owner (or Designee) may require more information from the Originator before making a determination of the validity of an Issue.

1.4 Assign Initial Severity and Authority Level

If the Issue is deemed to be valid, the Owner assigns an initial severity and authority level based upon overall impact and risk to the Project.

1.5 Refer to Change Management Process (conditional)

If the Issue is determined to be invalid because it cannot be mapped to a requirement/specification, the Owner may determine it appropriate that the Change Control Board via the Change Management Process evaluate the item.

Note: All Issues, whether validated or rejected, will be maintained in the database to lessen the likelihood of duplicative efforts in future Issue assessments and analysis.

Inputs
- Issue
- Project Control Document (PCD)

Outputs
- Issue Management Database

Agents
- Originator
- Owner*

Note: The agent identified with an asterisk (*) within each of the activity agent listings has the primary responsibility for ensuring the activity is accomplished.

2. Evaluate Impact of Issue

Purpose To fully understand all ramifications of the Issue.

Description **2.1 Evaluate Issue**

The responsible Authoritative Level will evaluate all Issues. Issues vary in size and complexity. Some Issues may require minimal evaluation. However, other Issues may require the completion of an in depth analysis in order to reach a conclusion on its resolution. In that situation, the responsible Authoritative Level is required to authorize an in depth analysis by the appropriate staff (Evaluator).

2.2 Conduct Detailed Analysis (conditional)

The Evaluator will prepare an Issue Impact Analysis. This detailed analysis may include all of the following items and or steps:

- Further detail description regarding the Issue;

- Impact to Project Plan (Budget/Schedule/Other);

- Root Cause analysis;

- Recommendation for Issue resolution and/or disposition; and

- Process improvement suggestions to prevent further issue occurrences.

Inputs • Issue

Outputs • Issue Impact Analysis

Agents • Responsible Authoritative Level*

- Evaluator

Note: The agent identified with an asterisk (*) within each of the activity agent listings has the primary responsibility for ensuring the activity is accomplished.

3. *Determine and Communicate Disposition of Issue*

Purpose   To come to a decision on the disposition of the Issue.

To ensure that all stakeholders are informed of the Issue resolution.

Description   **3.1   Review Issue and Issue Impact Analysis**
The responsible Authoritative Level reviews the Issue, and, if deemed necessary in Activity 3 –Evaluate Impact of Issue, the Issue Impact Analysis as well. This process has three possible outcomes:

- Consensus is reached on a recommendation and the Issue is disposed of.

- The Issue is returned for further evaluation.

- Consensus cannot be reached or it is determined that escalation to the next Authoritative Level (see Appendix A) is required. In these instances, the Issue is passed to the next Authoritative Level for review.

In addition, all regularly scheduled weekly status meetings at every level of the Project will include a standing agenda item to review Issues and raise questions or concerns regarding pending Issues pertinent to the participating team members.

3.2   Dispose of the Issue
Based on the outcome of the review process, the Owner (or Designee) disposes of the Issue by updating the centralized database.

3.3   Communicate Issue Disposition
The Owner (or Designee) communicates the disposition of the Issue via an Issue Update Notice. See CalWIN Communication Plan, Communication Item 9.

Inputs
- Issue
- Issue Impact Analysis

Outputs
- Issue Management Database (updated)
- Issue Update Notice

Agents
- Owner*
- Responsible Authoritative Level

Note: The agent identified with an asterisk (*) within each of the activity agent listings has the primary responsibility for ensuring the activity is accomplished.

4. Revise Work Products (conditional)

Purpose	If necessary, to keep the PCD and affected deliverables and non-deliverables in line with Issue disposition.

Description

4.1 Make Changes to PCD
The Owner will coordinate the necessary changes to the PCD with the PMO. Such changes may include the Risk Plan, Project Schedule and Resource Plan.

4.2 Make Changes to Affected Work Products
The Owner will coordinate the necessary changes to the affected work products with the appropriate EDS CalWIN Manager. See Configuration Management Plan.

Inputs
- Issue (resolved)
- Project Control Document
- Work Products

Outputs
- Project Control Document (updated)
- Work Products (updated)

Agents
- Owner
- Program Management Office (PMO)
- EDS CalWIN Manager*

Note: The agent identified with an asterisk (*) within each of the activity agent listings has the primary responsibility for ensuring the activity is accomplished.

5. Evaluate and Refine Issue Management Process

Purpose To identify lessons learned (successes, problems, and opportunities for improvement), implement process improvements, and ensure institutionalization of the process.

Description At the completion of the process a review will take place to identify lessons learned and improvement that can be made to the process. The Issue Management process will also be periodically reviewed according to the project's Quality Assurance Plan and using the Quality Assurance Process.

5.1 Evaluate lessons learned

Evaluation of lessons learned takes place at the completion of activity 4 – Revise Work Products. The EDS CalWIN Manager will conduct a post-process review to determine lessons learned and identify improvements that can be made to the process. The EDS CalWIN Manager will forward the lesson learned to the QA Team for inclusion in the QA tracking and reporting tools.

5.2 Implement process improvements

Implementation of process improvements is the responsibility of the Process Owner. The EDS CalWIN Manager will forward process improvements identified during the evaluation of lessons learned to the Process Owner for incorporation into the process. When the updates are complete, the Process Owner will notify the CalWIN Project Team of the change(s) and re-publish the process.

5.3 Review the process

A review of the Issue Management process will be conducted periodically by the QA Team using the project's Quality Assurance Plan and Process. QA reviews assure leaders that a project's activities and work products conform to the process, procedures, requirements, and standards. The QA process review findings also identify nonconformance that may put future projects at risk. The findings are collected over time and used as input to future process improvement efforts. See the QA Plan and QA Process for more details.

Inputs
- Issue Management Process
- Input from Individuals Involved in Process

Outputs
- Lessons Learned
- Issue Management Process (improved)
- Quality Assurance Review Notice

Agents
- EDS CalWIN Manager*
- Process Owner (PMO)
- QA Team

Note: The agent identified with an asterisk (*) within each of the activity agent listings has the primary responsibility for ensuring the activity is accomplished.

Supporting Information

Usage and Tailoring Guidelines

In order to achieve the goals that were defined for this process, it is imperative that improvements are encouraged from throughout the CalWIN Project Team; but it is also imperative that these improvements are evaluated and implemented in a controlled manner. In order to accomplish this process, Activities 1 – Identify/Document Issue through 6 - Evaluate and Refine Issue Management Process must be performed. Issue Management must be adaptable to the unique needs of the WCDS CalWIN Organization projects and their particular situations, but the purpose of each activity must be achieved, regardless of the tailoring.

In Activity 2 – Evaluate Impact of the Issue it is up to the discretion of the responsible Authoritative Level to decide whether or not it is necessary to execute sub-activity 2.2 – Conduct Detailed Analysis.

Metrics

The product and process metrics that will be collected for this work element are described in the following matrices.

Work Product Metrics

Metric	Frequency	Responsibility	Location
Cumulative Number of Issues by Status	Monthly	PMO	
Unresolved Issues by Severity Level	Monthly	PMO	

Process Metrics

Metric	Frequency	Responsibility	Location
Unresolved Issues by Age	Monthly	PMO	

Verification

The following items will be used as objective evidence that this process is being accomplis hed as documented:

- Issue Impact Analysis
- Issue Management Database
- Issue Update Notice
- Project Control Document (updated)
- Quality Assurance Review Notice
- Work Products (updated)
- Others as documented in the QA Team review criteria for the Issue Management Process.

Appendix A – Authoritative Levels

The management and control of Issues is divided into five leadership levels, defined as:

Level	Name	Members
1	WCDS Director's Conference	WCDS Directors WCDS CalWIN Project Manager
2	CalWIN Joint Committee	County CalWIN Managers WCDS CalWIN Project Manager EDS CalWIN Project Manager
3	CalWIN Management Team	WCDS CalWIN Project Manager WCDS CalWIN Deputy Managers EDS CalWIN Project Manager EDS CalWIN Managers
4	CalWIN Managers	WCDS CalWIN Deputy Managers WCDS CalWIN Track Team Leads EDS CalWIN Managers
5	CalWIN Team Leaders	WCDS CalWIN Track Team Leads WCDS CalWIN Track Leads/ Coordinators/Specialists EDS CalWIN Team/Technical Leaders

Appendix B – Database Attributes

All Issues must be recorded in the centralized database. This will be an automated tool designed to support the Issue Management process. The attributes of an Issue are listed in the table below.

Name	Description	Sample Data
Authoritative Level	Level of leadership responsible for the issue	2 – CalWIN Joint Committee
Classification	Classifies issue ownership	EDS only WCDS only Joint ownership
Date Closed	Date issue was resolved	03/03/2000
Detailed Description	Description of the issue in as much detail as possible and reasonable	Text
Disposition	Description of the accepted resolution for disposing of the issue	Text
Disposition Type	Categorizes the resolution of the issue	Dropped as non-issue Clarified requirement(s) Changed baseline requirement(s) Created change request
Evaluator	Person responsible for preparing Impact Analysis Report	Carol Cross (Text)
Issue ID	System assigned issue identifier	issue00000001
Keywords	Words used to perform searches and help reduce duplicate issues	Budget Income
Originator	The person or source of the issue	John Watson (Text)
Owner	Person responsible for the issue	Arnold Winkle
Priority	Priority within assigned Severity Level	1 - 10
Progress Notes	Comments concerning the progress on resolving the Issue	Text
Progress Notes Log	Historical progress comments	Text
Received Date	Date the issue was received by the Owner	01/08/2000
Requirement Unique ID	Cross-reference to the related requirement	ITP0001
Severity	Priority based on overall impact and risk to the Project	0 – low impact or exposure 1 – inconveniences without serious impact 2 – threatens impact to process or product 3 – disrupts the process or degrades the product 4 – serious risk to a major part of the Project exists 5 – risk exposure threatens failure of the Project
Status	Current status of the issue Note: This field is system generated based on actions taken by the user.	Received Validated Evaluation Review Closed

Name	Description	Sample Data
Target Review Date	Estimate of the date by which the issue will be evaluated/analyzed and ready for review by the appropriate Authoritative Level	01/15/2000
Title	Brief description of the issue	Jones vs. Cueva Court Case
Type	Type of issue	Business Process Training Policy/Regulation